

4.3 Budget Formulation

4.3.1 General Concepts

Budget requests are for resources to get the job done.

Budgets must be convincing and real.

PMs need to be credible and strive to obtain all, but not more than they need.

The Congressional and DOE budget processes require that budget requests be submitted in accordance with a schedule and in a specific format. A narrative is submitted with each budget proposal, explaining the purpose and need for which the funding is requested. This is an opportunity for the program manager to obtain resources, both funding and, where required, personnel (FTE). Budget justifications should be compelling while remaining accurate and credible. While understating or underestimating the requirements and benefits are not in the best interest of the program, experience has proven that overestimating or overstating the requirements and benefits are also detrimental. Based on planning, the budget should represent bona fide contributions to the mission and strategic goals and objectives, and should be executable (the work performed and the dollars spent within the budget year).

4.3.1.1 Budgeting for Outcomes or Results

In today's performance-based management environment, budgets need to describe the outcomes or results that will be achieved for the funding received. Budgeting for inputs or expected expenses as in the past is no longer acceptable. This means that budget request narratives need to describe the benefits produced in terms of goals and objectives achieved related to the DOE and EERE missions. Budgeting for Research, Development, Demonstration and Deployment activities should address why those activities are important and what they are expected to achieve.

4.3.1.2 Responding to Budget Calls

EERE and PM's are involved in a series of steps to produce the budget.

Budget requests flow from plans.

Budgeting is so schedule-driven that once the train leaves the station it does not stop. This means that program managers need to anticipate budget calls and conduct operational planning in collaboration with implementing (Field) activities in time to compile, integrate, balance and characterize them in a timely fashion. This necessitates advanced budget planning by the program manager and his/her team. Program managers respond to "budget calls" from within the organization. These are often treated as fire drills. It need not be that way. If the operational plans for the year in which the funds are appropriated have been articulated, then what is already known is:

- the planned goals, objectives and milestones,
- the work assignments and procurement and financial assistance awards requiring funding, and
- the amount of funding required.

(Tying the projects and milestones to the projected procurements and work assignments creates the program's Annual Operating Plan (see Planning and Budget Execution for discussions on the AOP)). If the projected performers have been involved in the planning process, there will be a common understanding of what needs to be done and their inputs with associated costs can be relatively easily rolled into the program's portion of the budget request.

4.3.1.3 Estimating Funding Requirements

The amount of requested funding for all program work activities should be accurate given the nature of the task assignments and associated risks and uncertainties. The estimates should be based on experience with identical or similar work done in the past or on an engineered approach in which the work is subdivided into all of its elements and each element's estimated cost is rolled up into the whole. As a general rule, the degree of uncertainty with respect to the required effort and expected outcomes decreases when moving from basic research, to application research and development to demonstration to deployment. Additionally, cost estimates should be derived using a degree of rigor and objectivity supported by independent review commensurate with the importance and scale of the work assignment.

4.3.1.4 Working with the Sector Budget Analyst

Each Sector has a Senior Budget Analyst who disseminates budget guidance to the program managers and assists them in developing their budget request. Budget language is very important and the Sector Budget Analyst can be very helpful in couching the narrative portion of the request in the most "attractive" terms. Working openly with the Sector Budget Analyst can also result in the analyst helping effectively explain the program's budget at higher-level reviews.

4.3.1.5 Defending the Budget Request

After inputting the program's budget request, the Sector conducts a review to adjust and balance the Sector-level request. Similarly, the Sectors convene at the EERE level to again adjust and balance the EERE request. As the budget request travels through the Department, through the Executive Branch and over to Congress, the program manager is often asked to justify, defend, and/or clarify the budget request. He/she must be conversant with the rationale and details and be prepared to respond in a timely, consistent and appropriate manner, through channels, to minimize unnecessary or unwarranted reductions (marks). The DOE policy for budget formulation is contained in DOE O 130.1. An elaboration of the budget process, from formulation through defense can be found in Appendices B1 through B6 of this Guide. Refer to the specific SMS Information and Instruction Modules for each budget formulation step, what it entails, and how the program manager is expected to support it. The EERE SMS Budget Hut accommodates the budget planning and formulation process by providing 1) spreadsheets for projects, milestones and preliminary spend plans, 2) folders for budget request narratives and budget tables, and 3) graphics for entering, storing, retrieving and adjusting the budget request and associated detailed information. Instructions for the use of these spreadsheets are contained in the Budget Hut Tutorial located in Appendix E of this guide and in the specific SMS Information and Instruction Modules for each step.

4.3.1.6 Additional Information

More detailed information on processes and best practices is contained in the Appendices to this guide and in the references listed below. Each of these represent useful sources of "how to" information and should be helpful in getting started.

Specific PM duties are spelled out in the EERE SMS Information and Instruction Sheets.

Appendices:

- Appendix B-1 The DOE Budget Process
- Appendix B-2 Corporate Review Budget Document
- Appendix B-3 OMB Passback and Appeal

- Appendix B-4 Congressional Q and A's
- Appendix B-5 Impact and Capability Statements
- Appendix B-6 Congressional Committees

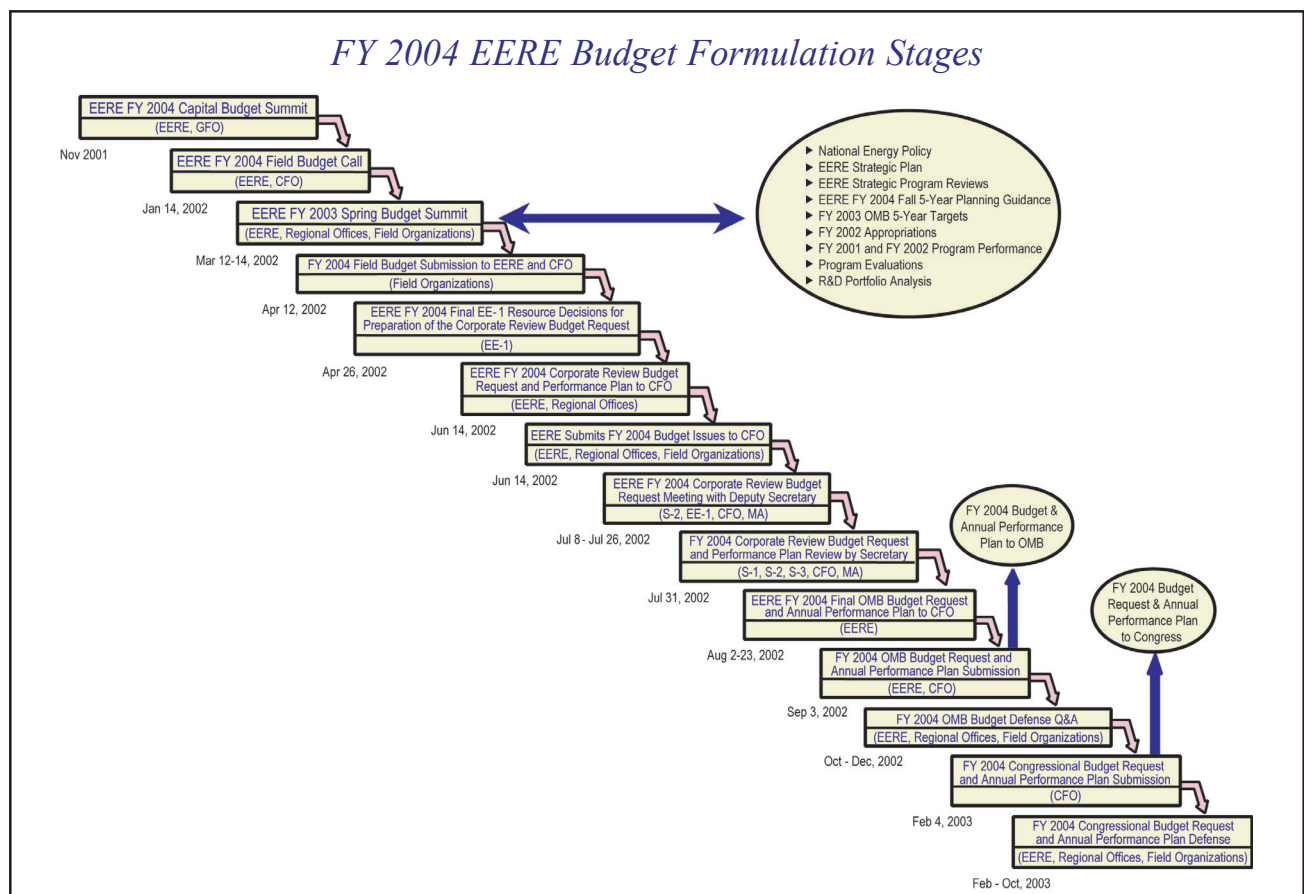
References:

- DOE Budget Formulation Manual DOE O 130.1
- DOE Budget Execution Manual
- DOE Budget Formulation Handbook

4.3.2 EERE SMS • Budget Formulation Stages

The key SMS steps in the FY 2003 budget formulation process are shown below. The process is designed to provide budget guidance as early as possible, to make major issues and concerns highly visible, to enable EERE management to make decisions in an efficient and timely manner, and to deliver a performance-based budget to the CFO on schedule. Budget formulation relies heavily on information derived from the planning process activities, especially the EERE Strategic plan and the Fall Multi-Year Planning Guidance.

Each of the steps shown in the diagram below are described in detail in the Information and Instruction Sheets that follow.



Note: Given the rapid pace of change, this Guide will be maintained as a "living document." The Guide contains current fiscal year dates and time frames related to actions over several program management cycles. To ensure that the guidance is as specific as possible, as the schedule of events for each upcoming fiscal year is solidified, the pertinent sections will be updated and distributed to all Guide holders.

This page left intentionally blank.

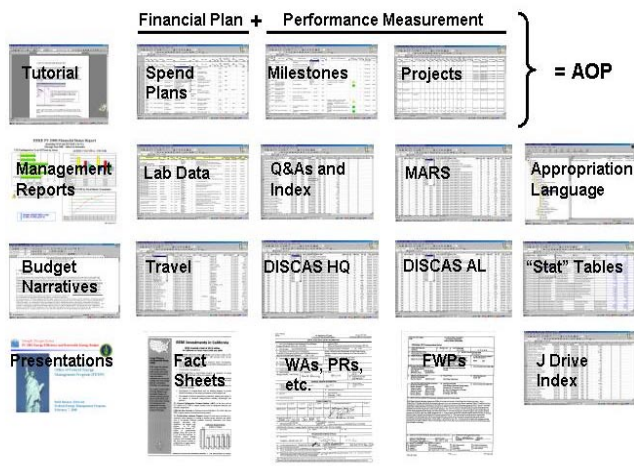
SMS Information And Instruction Sheet

SMS REQUIREMENT
EERE CAPITAL BUDGET SUMMIT
<p>In the Summer of 2001, PBM provided guidance to the Field to develop conceptual designs for special capital projects. In November 2001, PBM will meet with the appropriate Headquarters and Field organizations to review field submissions for proposed capital construction projects in excess of \$1 million. The review and preliminary approval will occur at the FY2004 Capital Budget Summit. Approved projects will be included in the FY 2004 Fall Multi-Year Planning Guidance. In addition, Regional Office Directors, the Golden Field Office, and the National Renewable Energy Laboratory (NREL) will inform the capital budget process whenever office leases and associated relocation costs can significantly impact program direction or program budget requests.</p>
EERE, GFO

PROGRAM MANAGEMENT ACTIONS:

The program manager should be aware of and be able to justify and defend any program requirements that are driving items in the capital budget. In order to do this, the program manager must have retained and be able to access and recall any inputs provided to capital budget calls.

What's in the "J" Drive Budget Hut?



BUDGET HUT INSTRUCTIONS:

References: N/A

BUDGET FORMULATION	EERE CAPITAL BUDGET SUMMIT
--------------------	----------------------------

This page left intentionally blank.

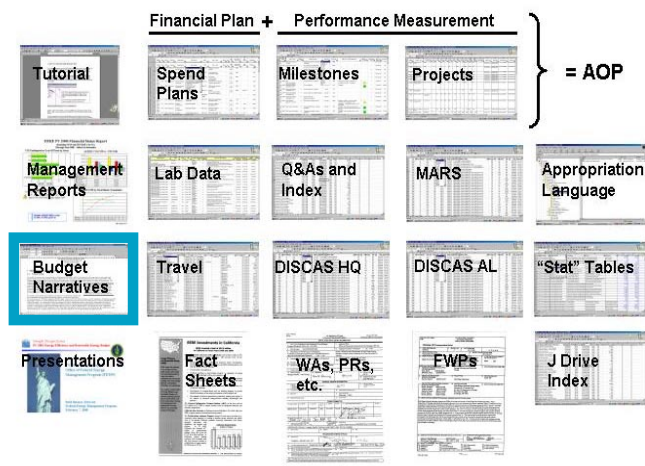
SMS Information And Instruction Sheet

SMS REQUIREMENT
EERE FIELD BUDGET CALL
By January 14, 2002, EERE will send its FY 2004 Field Budget Call to the Field organizations to guide them in the preparation of their budget submissions. EERE's Field Budget Call supplements the Department's Field Budget Call issued by the CFO.
EERE, CFO

PROGRAM MANAGEMENT ACTIONS:

The program manager should maintain continuous dialog with applicable points of contact at Field activities to ensure they understand their role in executing the program and that their submission will be reflective of the work they have proposed, had accepted and expect to be assigned and funded to carry out.

What's in the "J" Drive Budget Hut?



BUDGET HUT INSTRUCTIONS:

USES: The Sector's Budget Request Narrative and Budget Tables and Graphics folders should be used to baseline the program's budget and develop a Corporate Review Budget request that reflects program continuity and consistent rationale.

INPUT REQUIREMENTS: The Sector's program/budget analysts will prepare and input the sector's budget request. The program manager should review the sector request to ensure it properly reflects the program's requirements.

References: Responsibilities of program officials, including program managers, are contained in the DOE Order DOE O 130.1, "Budget Formulation Manual". General descriptions of the DOE budget process and budget document are in Appendices B1 and B2 respectively of this Guide.

BUDGET FORMULATION	EERE FIELD BUDGET CALL
--------------------	------------------------

This page left intentionally blank.

SMS Information And Instruction Sheet

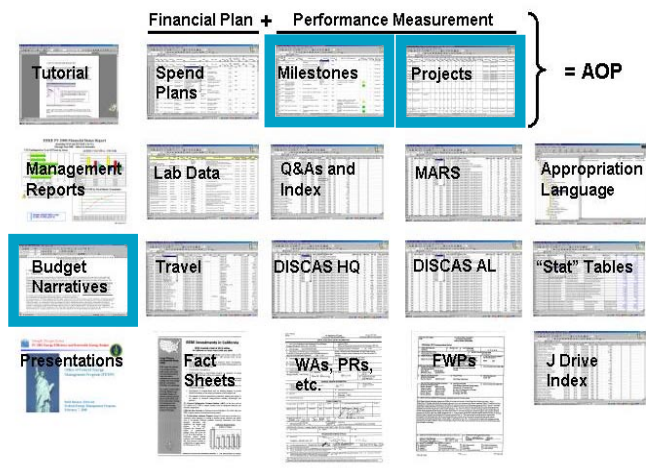
SMS REQUIREMENT
EERE SPRING BUDGET SUMMIT
<p>By March 15, 2002, EE-1 will hold a budget summit meeting for all Deputy Assistant Secretaries and Regional Office Directors and GFO and NREL Directors to address issues affecting the preparation of the FY 2004 Corporate Review Budget Request (including capital budget requests), which is then submitted to the CFO.</p> <p>Between October 2001 and March 2002, PBM and the Sectors will support Multi-Year Planning efforts by conducting Quality Management and program evaluations for the Spring Budget Summit that:</p> <p>Identify key multi-year policy and planning issues based on strategic goals and program evaluations</p> <p>Identify multi-year milestones and budgets needed to reach strategic goals and objectives</p>
EERE, Regional Offices, Field Organizations

PROGRAM MANAGEMENT ACTIONS:

The program manager may be called upon to assist the DASs in the GRPA Data Call and Supporting Program analysis, including peer reviews and strategic issue paper preparation.

The programs may be required to provide information through a series of templates. The program manager may be asked to give presentations in defense of the budget.

What's in the "J" Drive Budget Hut?



BUDGET HUT INSTRUCTIONS:

The program manager should use his/her current project Description spreadsheet as a basis for developing a draft Project Description spreadsheet for the FY being planned for.

References:

BUDGET FORMULATION	EERE SPRING BUDGET SUMMIT
--------------------	---------------------------

This page left intentionally blank.

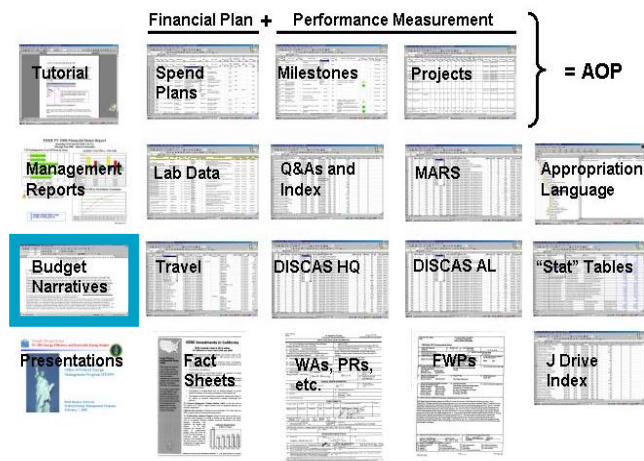
SMS Information And Instruction Sheet

SMS REQUIREMENT
FIELD BUDGET SUBMISSION TO EERE AND THE CFO
Based on EERE's FY 2004 Fall Multi-Year Planning Guidance, the EERE Field Budget Call, the EERE Spring Budget Summit, EERE program guidance, and the Chief Financial Officer's (CFO) Field Budget Call and Handbook, the Field organizations will prepare and submit their FY 2004 budget proposals to EERE and the CFO by April 12, 2002
Field Organizations

PROGRAM MANAGEMENT ACTIONS:

The program manager should obtain and review the applicable portions of the Field budget submissions for validation against multi-year program plans and annual operating plans. This will ensure the Field has included the planned activities necessary to support the program. Additionally, the Field budget submission should be reviewed to ensure the identified activities, projects and tasks have been realistically priced. These reviews should be conducted prior to development of the program/Sector's submission to the EERE portion of the Corporate Review Budget.

What's in the "J" Drive Budget Hut?



BUDGET HUT INSTRUCTIONS:

USES: The program manager needs to frequently review the sector's budget narrative and Budget Tables and Graphics to identify and respond to changes (marks) on the program's request.

INPUT REQUIREMENTS: The sector budget analyst enters all changes into the budget hut folders and spreadsheets.

References: Responsibilities of program officials, including program managers, are contained in the DOE Order DOE O 130.1, "Budget Formulation Manual". General descriptions of the DOE budget process and budget document are in Appendices B1 and B2 respectively of this Guide.

BUDGET FORMULATION	FIELD BUDGET SUBMISSION TO EERE AND THE CFO
--------------------	---

This page left intentionally blank.

SMS Information And Instruction Sheet

SMS REQUIREMENT

EE-1 RESOURCE DECISIONS FOR PREPARATION OF THE CORPORATE REVIEW BUDGET REQUEST

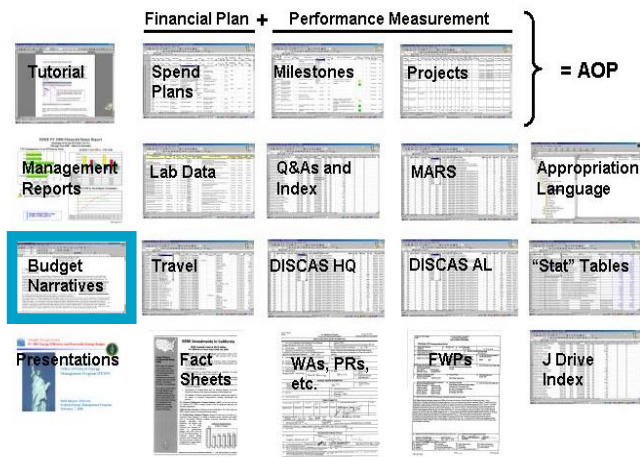
By April 16, 2002, EE-1 will publish EERE priorities and resource decisions that will serve as guidelines to the Sectors, Regional Offices, and GFO for the final preparation of the FY 2003 Corporate Review Budget Request.

EE-1

PROGRAM MANAGEMENT ACTIONS:

The program manager should review the priorities and resource decisions for potential impact on the program and adjust the program's portion of the budget submission as necessary.

What's in the "J" Drive Budget Hut?



BUDGET HUT INSTRUCTIONS:

USES: The program manager needs to frequently review the Sector's budget narrative and Budget Tables and Graphics to identify and respond to changes (marks) on the program's request.

INPUT REQUIREMENTS: The Sector budget analyst enters all changes into the budget hut folders and spreadsheets.

References: Responsibilities of program officials, including program managers, are contained in the DOE Order DOE O 130.1, "Budget Formulation Manual". PROCESSES/BEST PRACTICES REFERENCES: General descriptions of the DOE budget process and budget document are in Appendices B1 and B2 respectively of this Guide.

BUDGET FORMULATION

EE-1 RESOURCE DECISIONS FOR PREPARATION OF THE CORPORATE REVIEW BUDGET REQUEST

This page left intentionally blank.

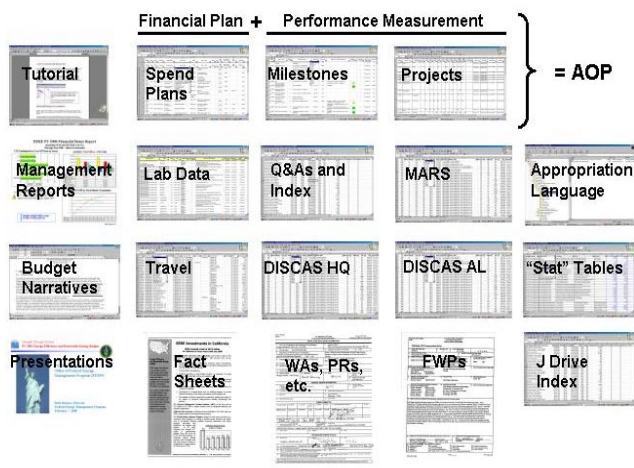
SMS Information And Instruction Sheet

SMS REQUIREMENT
EERE CORPORATE REVIEW BUDGET REQUEST AND PERFORMANCE PLAN TO CFO
<p>From early March to June 3, 2002, EERE will conduct budget and staffing-level impact analyses, ensure that Sectors have cooperated with the Regional Office Directors to determine whether funding levels and performance planning commitments for field integration programs are practical and feasible, and prepare the FY 2004 Corporate Review Budget Request and Annual performance plan for submission to the CFO.</p>
EERE, REGIONAL OFFICES

PROGRAM MANAGEMENT ACTIONS:

The program manager will be asked for program-level input. Once this input is provided it will be included with the other programs in the Sector level review and subsequently with the other Sectors in the EERE level review. At each level the program manager should be prepared to justify and defend the program on short notice.

What's in the "J" Drive Budget Hut?



BUDGET HUT INSTRUCTIONS:

USES: The program manager needs to frequently review the sector's budget narrative and Budget Tables and Graphics to identify and respond to changes (marks) on the program's request.

INPUT REQUIREMENTS: The sector budget analyst enters all changes into the budget hut folders and spreadsheets.

References: Responsibilities of program officials, including program managers, are contained in the DOE Order DOE O 130.1, "Budget Formulation Manual". General descriptions of the DOE budget process and budget document are in Appendices B1 and B2 respectively of this Guide.

BUDGET FORMULATION	EERE CORPORATE REVIEW BUDGET REQUEST AND PERFORMANCE PLAN TO CFO
--------------------	--

This page left intentionally blank.

SMS Information And Instruction Sheet

SMS REQUIREMENT

EERE SUBMITS FY2004 BUDGET ISSUES TO THE CFO

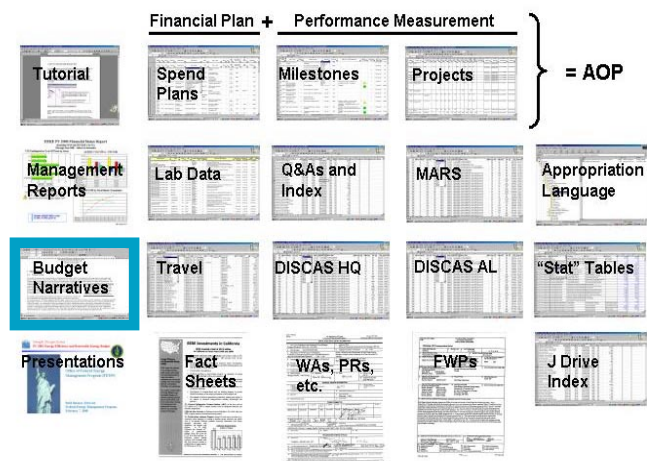
Preparation of program budgets (including Department cross-cutting programs) and staffing levels that conform to the Secretary's Multi-Year Budget and FTE Guidance may bring out issues and options to be decided at the Corporate Review Budget meetings with the Deputy Secretary. EERE will utilize input from the Sectors, Regional Offices and GFO, and staff from the Offices of the CFO, Policy, Management and Administration, OMB, and other organizations to help analyze issues and develop options for consideration by the Deputy Secretary. Issues should be resolved at the appropriate organizational level. EERE will submit any unresolved FY 2004 budget issues to the CFO by June 14, 2002.

EERE, Regional Offices, Field Organizations

PROGRAM MANAGEMENT ACTIONS:

The program manager should be prepared to raise issues potentially impacting the program for submission to the CFO. The program manager should also be prepared to help analyze the issues raised during review of the budget submission and develop options for consideration.

What's in the "J" Drive Budget Hut?



BUDGET HUT INSTRUCTIONS:

USES: The program manager needs to frequently review the sector's budget narrative and Budget Tables and Graphics to identify and respond to changes (marks) on the program's request.

INPUT REQUIREMENTS: The sector budget analyst enters all changes into the budget hut folders and spreadsheets.

References: Responsibilities of program officials, including program managers, are contained in the DOE Order DOE O 130.1, "Budget Formulation Manual". General descriptions of the DOE budget process and budget document are in Appendices B1 and B2 respectively of this Guide.

BUDGET FORMULATION

EERE SUBMITS FY2003 BUDGET ISSUES TO THE CFO

This page left intentionally blank.

SMS Information And Instruction Sheet

SMS REQUIREMENT

CORPORATE REVIEW BUDGET REQUEST MEETING WITH THE DEPUTY SECRETARY

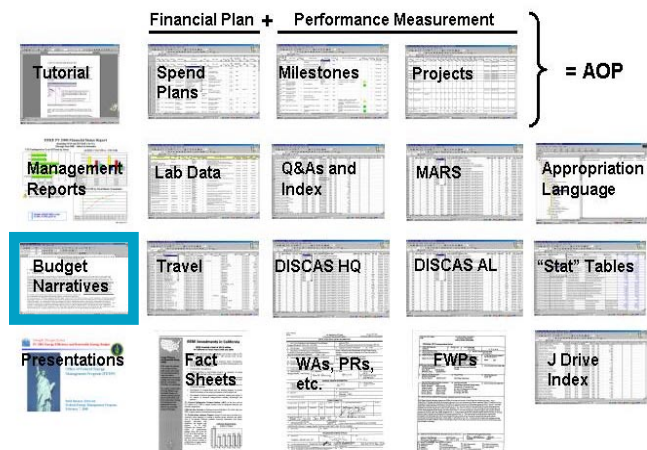
During July 2002, Secretarial Officers, the Office of the CFO, and the Office of Management and Administration will present issues and options by DOE Mission Area to the Deputy Secretary in a series of separate meetings. The EERE Budget Request and issues will be presented at the Energy Resources Mission Area meeting. EERE will be represented by the Assistant Secretary and PBM. At follow-up meetings within this time period, these same groups return to present answers to questions posed by the Deputy Secretary in the initial meetings. In response to these meetings, the Deputy Secretary provides guidance and decisions on major issues and priorities.

S-2, EE-1, CFO, MA

PROGRAM MANAGEMENT ACTIONS:

The program manager should be prepared to justify and defend the program budget submission.

What's in the "J" Drive Budget Hut?



BUDGET HUT INSTRUCTIONS:

USES: The program manager needs to frequently review the sector's budget narrative and Budget Tables and Graphics to identify and respond to changes (marks) on the program's request.

INPUT REQUIREMENTS: The sector budget analyst enters all changes into the budget hut folders and spreadsheets.

References: Responsibilities of program officials, including program managers, are contained in the DOE Order DOE O 130.1, "Budget Formulation Manual". General descriptions of the DOE budget process and budget document are in Appendices B1 and B2 respectively of this Guide.

BUDGET FORMULATION

CORPORATE REVIEW BUDGET REQUEST MEETING WITH THE DEPUTY SECRETARY

This page left intentionally blank.

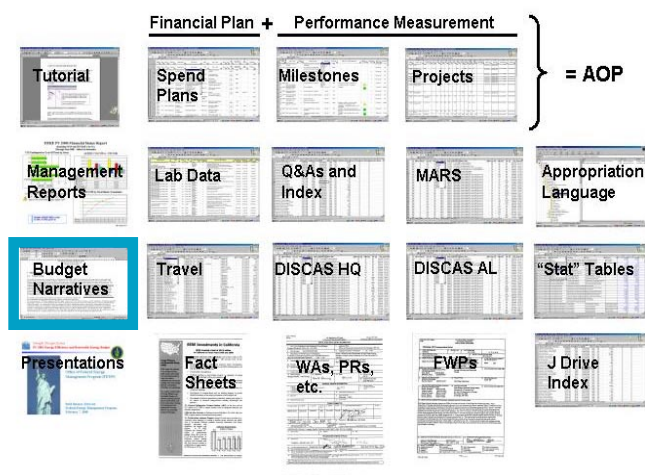
SMS Information And Instruction Sheet

SMS REQUIREMENT
BUDGET AND PERFORMANCE PLAN REVIEW BY THE SECRETARY
In late July 2002, following the corporate review of the budget previously described, the Secretary will meet with all the Secretarial Officers and the CFO to reconcile any remaining differences in final budget and FTE targets for FY 2004.
S-1, S-2, S-3, CFO, MA

PROGRAM MANAGEMENT ACTIONS:

The program manager should be prepared to justify and defend the budget and respond promptly to questions and issues raised. If detailed analysis and evaluation have been conducted and program plans are in place, this process will be facilitated.

What's in the "J" Drive Budget Hut?



BUDGET HUT INSTRUCTIONS:

USES: The program manager should refer to the milestones, projects, spend plan and budget narrative and budget table and graphics folders and spreadsheets frequently to remain conversant with the program's plans, requirements and representations.

INPUT REQUIREMENTS: All changes to the budget folder are prepared and input by the sector budget analyst.

References: Responsibilities of program officials, including program managers, are contained in the DOE Order DOE O 130.1, "Budget Formulation Manual". Responsibilities of program officials, including program managers, are contained in the DOE Order DOE O 130.1, "Budget Formulation Manual".

BUDGET FORMULATION	BUDGET AND PERFORMANCE PLAN REVIEW BY THE SECRETARY
--------------------	---

This page left intentionally blank.

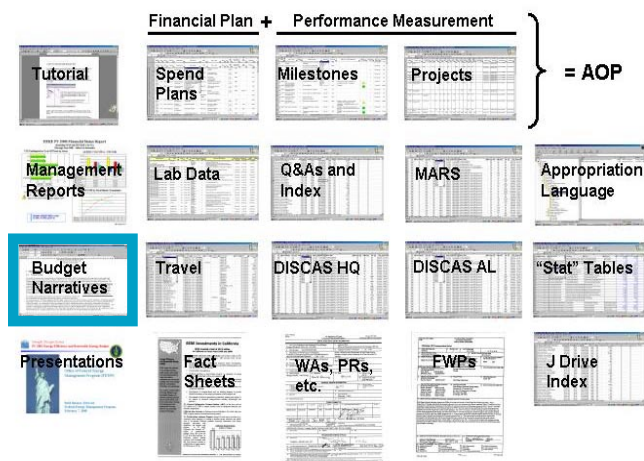
SMS Information And Instruction Sheet

SMS REQUIREMENT
FINAL OMB BUDGET REQUEST AND ANNUAL PERFORMANCE PLAN TO CFO
<p>During August 2002, EERE will prepare its FY 2004 OMB Budget Request submission. EERE Sectors, Regional Offices and GFO will work with PBM to complete detailed budget justification narratives and request levels. Following a review by the Office of the CFO, EERE will respond to their comments and requests for changes. During this same time, the Office of the CFO will be working with EERE to prepare the FY 2004 Annual performance plan, which will accompany the budget through the OMB and Congressional budget processes. Performance measures included in this version of the Annual performance plan will reflect performance associated with the OMB Budget Request level.</p>
EERE

PROGRAM MANAGEMENT ACTIONS:

The program manager should be prepared to justify and defend the budget and respond promptly to questions and issues raised. If detailed analysis and evaluation has been conducted and program plans are in place, this process will be facilitated.

What's in the "J" Drive Budget Hut?



BUDGET HUT INSTRUCTIONS:

USES: The program manager should refer to the milestones, projects, spend plan and budget narrative and budget table and graphics folders and spreadsheets frequently to remain conversant with the program's plans, requirements and representations.

INPUT REQUIREMENTS: All changes to the budget folder are prepared and input by the sector budget analyst.

References: Responsibilities of program officials, including program managers, are contained in the DOE Order DOE O 130.1, "Budget Formulation Manual". General descriptions of the DOE budget process and budget document are in Appendices B1 and B2 respectively of this Guide.

BUDGET FORMULATION	FINAL OMB BUDGET REQUEST AND ANNUAL PERFORMANCE PLAN TO CFO
---------------------------	--

This page left intentionally blank.

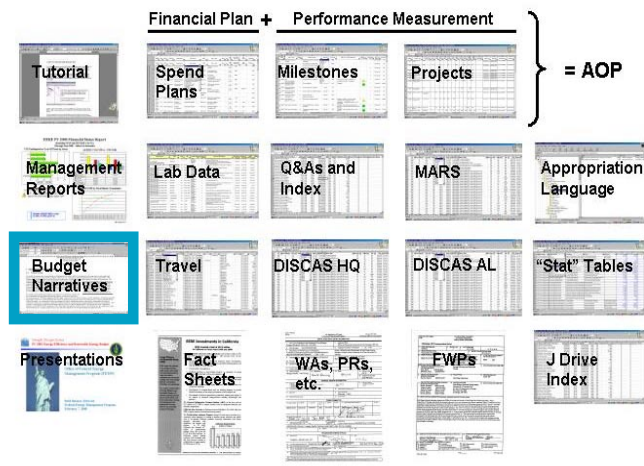
SMS Information And Instruction Sheet

SMS REQUIREMENT
OMB BUDGET REQUEST AND ANNUAL PERFORMANCE PLAN SUBMISSION
On September 3, 2002, the Office of the CFO will submit the Department's FY 2004 OMB Budget Request and Annual performance plan to OMB.
EERE, CFO

PROGRAM MANAGEMENT ACTIONS:

The program manager should be prepared to justify and defend the budget and respond promptly to questions and issues raised. If detailed analysis and evaluation has been conducted and program plans are in place, this process will be facilitated.

What's in the "J" Drive Budget Hut?



BUDGET HUT INSTRUCTIONS:

USES: The program manager should refer to the milestones, projects, spend plan and budget narrative and budget table and graphics folders and spreadsheets frequently to remain conversant with the program's plans, requirements and representations.

INPUT REQUIREMENTS: All changes to the budget folder are prepared and input by the sector budget analyst.

References: Responsibilities of program officials, including program managers, are contained in the DOE Order DOE O 130.1, "Budget Formulation Manual". General descriptions of the DOE budget process and budget document are in Appendices B1 and B2 respectively of this guide.

BUDGET FORMULATION	OMB BUDGET REQUEST AND ANNUAL PERFORMANCE PLAN SUBMISSION
--------------------	---

This page left intentionally blank.

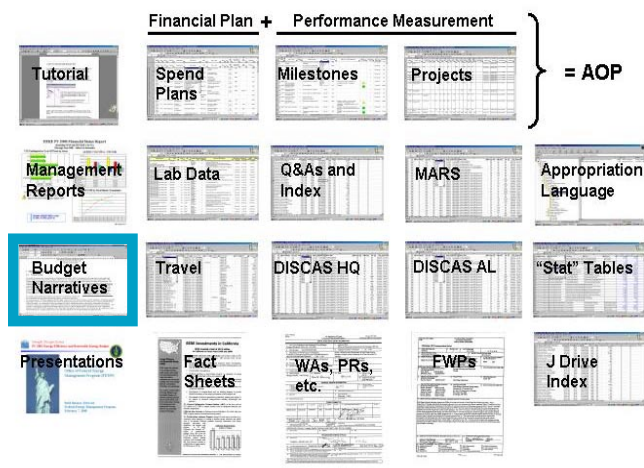
SMS Information And Instruction Sheet

SMS REQUIREMENT
OMB BUDGET DEFENSE Q&A
<p>As part of its review of the Department's FY 2004 Budget Request and Annual Performance Plan, OMB may request briefings by program offices or written responses to specific questions. In mid-October 2002, EERE will defend its FY 2004 OMB Budget Request to OMB examiners. In late November, EERE will respond to OMB's passback (comments and requests for changes), drawing upon Headquarters', Regional Office, and Field organization personnel as needed.</p>
EERE, Regional Offices, Field Organizations

PROGRAM MANAGEMENT ACTIONS:

The program manager should be knowledgeable about all aspects of the program to make adequate presentations in defense of his/her budget. It is important that they be present and available to respond as necessary. If detailed analysis and evaluation has been conducted and program plans are in place, this process will be facilitated.

What's in the "J" Drive Budget Hut?



BUDGET HUT INSTRUCTIONS:

USES: The program manager should refer to the milestones, projects, spend plan and budget narrative and budget table and graphics folders and spreadsheets frequently to remain conversant with the program's plans, requirements and representations. He/she should also refer to the Q & A folder in the Budget Hut to review previous years' answers to OMB and Congressional questions.

INPUT REQUIREMENTS: All changes to the budget folder are prepared and input by the sector budget analyst.

References: A detailed description of the OMB Passback and Appeal process is located at Appendix B4

BUDGET FORMULATION	OMB BUDGET DEFENSE Q&A
--------------------	------------------------

This page left intentionally blank.

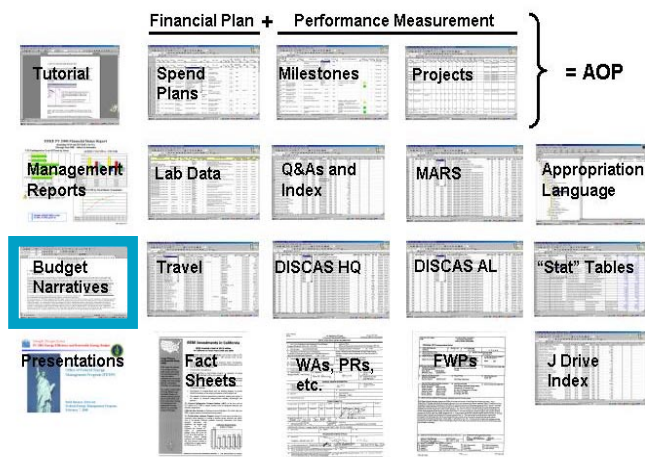
SMS Information And Instruction Sheet

SMS REQUIREMENT
CONGRESSIONAL BUDGET REQUEST AND ANNUAL PERFORMANCE PLAN SUBMISSION
<p>In December 2002, EERE will submit its FY 2004 Congressional Budget Request to the Office of the CFO for inclusion in the Department's Congressional Budget Request. On February 4, 2003, DOE will submit its FY 2004 Congressional Budget Request and Annual performance plan to Congress. The Office of the CFO coordinates this submission</p>
CFO

PROGRAM MANAGEMENT ACTIONS:

The program manager should be knowledgeable about all aspects of the program to make adequate presentations in defense of his/her budget and or to provide inputs for Congressional testimony as requested. It is important that they be present and available to respond as necessary. If detailed analysis and evaluation has been conducted and program plans are in place, this process will be facilitated.

What's in the "J" Drive Budget Hut?



BUDGET HUT INSTRUCTIONS:

USES: The program manager should refer to the milestones, projects, spend plan and budget narrative and budget table and graphics folders and spreadsheets frequently to remain conversant with the program's plans, requirements and representations.

INPUT REQUIREMENTS: All changes to the budget folder are prepared and input by the sector budget analyst.

References: Responsibilities of program officials, including program managers, are contained in the DOE Order DOE O 130.1, "Budget Formulation Manual". General descriptions of the DOE budget process and budget document are in Appendices B1 and B2 respectively of this Guide.

BUDGET FORMULATION	CONGRESSIONAL BUDGET REQUEST AND ANNUAL PERFORMANCE PLAN SUBMISSION
--------------------	---

This page left intentionally blank.

SMS Information And Instruction Sheet

SMS REQUIREMENT

CONGRESSIONAL BUDGET REQUEST AND ANNUAL PERFORMANCE PLAN DEFENSE

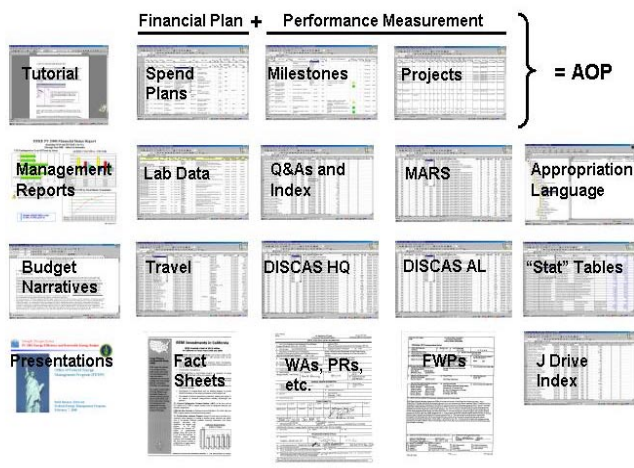
From February to October 2003, the Department will defend its FY 2004 Budget Request and Annual performance plan to the Congressional committees through testimony and written questions and answers. EE-1 will appear and testify as requested by the committees that have jurisdiction or interest in EERE's programs. EERE Headquarter's, Regional Office, and Field organization personnel will participate as needed to respond to all Congressional requests.

EERE, Regional Offices, Field Organizations

PROGRAM MANAGEMENT ACTIONS:

The program manager should be knowledgeable about all aspects of the program and understand the Congressional Q & A process in order to respond in an appropriate and timely manner.

What's in the "J" Drive Budget Hut?



References: A detailed process for responding to Congressional Q & A's is located at Appendix B4.

BUDGET HUT INSTRUCTIONS:

USES: The program manager should refer to the milestones, projects, spend plan and budget narrative and budget table and graphics folders and spreadsheets frequently to remain conversant with the program's plans, requirements and representations.

INPUT REQUIREMENTS: All changes to the budget folder are prepared and input by the sector budget analyst.

BUDGET FORMULATION

CONGRESSIONAL BUDGET REQUEST AND ANNUAL PERFORMANCE PLAN DEFENSE

This page left intentionally blank.